

**WORK PROGRAMME 2008**

***CAPACITIES***

**PART 4**

***RESEARCH POTENTIAL***

***(European Commission C(2007)5759 of 29 November 2007)***

**Capacities Work Programme: Research Potential**

The work programme presented here provides for two calls for proposals, one on 'Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions', a second on 'Providing evaluation facilities for research entities in the EU's convergence regions and outermost regions'.

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## **4. RESEARCH POTENTIAL**

### **Objective:**

**Stimulating the realisation of the full research potential of the enlarged Union by unlocking and developing existing or emerging research potential in the European Union's convergence regions and outermost regions<sup>1</sup>, and helping to strengthen the capacities of their researchers to successfully participate in research activities at EU level.**

## **I CONTEXT**

### **Policy context**

Europe does not fully exploit its research potential, in particular in less advanced regions remote from the European core of research and industrial development. This action (Research Potential) aims at establishing conditions that will allow research entities<sup>2</sup> in these regions - whether in the public or private sector - to exploit their research potential, thus contributing to regional development while taking advantage of the knowledge and experience existing in other regions of Europe. Hence this action will help to fully realise the European Research Area (ERA) within the enlarged Union.

### **Approach**

In order to support the realisation of the full research potential of the enlarged European Research Area, a dedicated action will seek to unlock the potential of research entities and strengthen their development in the convergence regions and outermost regions of the European Union that are currently not using their possibilities to the full or that are in need of new knowledge and support to realise their potential.

By focusing on strengthening the research and technological development capacities of the selected research entities and on the development of collaboration between them and excellent research entities elsewhere in the EU, the action will contribute to the setting-up of strategic partnerships, enabling the selected research entities to realise their full potential. This will increase their contribution to regional sustainable development and employment growth and highlight their scientific excellence and visibility in the European Research Area (ERA).

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<sup>1</sup> Convergence regions are listed in the C(2006) 3475 and are defined as those regions having a per capita gross domestic product (GDP) of less than 75 % of the average GDP of the EU-25. Subject to international instruments associating third countries to the 7<sup>th</sup> EC Framework Programme, other regions may become eligible for participation; the modalities for the identification of eligible regions will be defined in these international instruments.

Outermost regions are defined according to the article 299§2 of the EC Treaty: Guadeloupe, French Guiana, Martinique and Réunion (the four French overseas departments), the Canaries (Spain), and the Azores and Madeira (Portugal).

<sup>2</sup> Research entities are for the purpose of this action defined as research centres and universities

The action will complement the investments in research capacity co-financed through the EU cohesion policy programmes for 2007-2013.

### **The consultation process**

Expert Groups' contributions have been taken into account and an FP7 Expert Advisory Group for "Research Potential", composed of senior experts from ministries and research entities has also contributed to the preparation of this action.

### **Activities**

The 2008 Work Programme will develop the following 2 **activities**:

- Activity: 4.1. Unlocking and developing the Research Potential of research entities established in the EU's Convergence Regions and Outermost regions;
- Activity: 4.2. Providing evaluation facilities for research entities established in the EU's Convergence Regions and Outermost Regions.

## **II CONTENT OF CALLS IN 2008**

### **Activity: 4.1.Unlocking and developing the Research Potential of research entities established in the EU's Convergence Regions and Outermost regions**

Indicative available budget: EUR 29 million.

#### **Technical content/scope :**

#### **Topics - REGPOT-2008-1**

This Activity will enable improvement in the target regions of the research capacities and capabilities of highest quality and/or most promising research entities, in the thematic priorities' domains of the EC FP7. This will be realised through a coherent set of measures with the aim: to reinforce their S&T potential, to support and mobilise their human and material resources, to develop strategic partnerships (including twinning) with well established research entities elsewhere in the Union, to disseminate scientific information as well as the results of research, to facilitate communication between research entities having similar scientific interests and to improve their responses to socio-economic needs of the country.

This Activity supports capacity building for improving the selected research entities' participation in European research cooperation, in particular in the 7<sup>th</sup> Framework Programme and for increasing their contribution to regional economic and social sustainable development.

This Activity does not finance research and technological development joint projects.

**Topics:** Any research topic covered by the EC FP7<sup>3</sup>.

**Participants**

Any public or private research entity (as a single proposer) which is established as a legal entity in the EU's convergence regions and outermost regions. These research entities must not be a subsidiary or branch of another legal entity established in a different country.

**Type of activities/work**

This Activity will support the **implementation** of an Action Plan defined by the selected research entities, derived from their **SWOT** (Strengths, Weaknesses, Opportunities, Threats) analysis. The Action Plan must include the following set of coherent measures:

- **Exchange of know-how and experience** through trans-national two-way secondments of research staff between the selected research entities in the qualifying regions and one or more knowledgeable and experienced partner organisations in another EU State, with obligatory return mechanisms for these seconded staff originating from the selected research entities in the qualifying regions;
- **Recruitment by the selected research entities of incoming experienced researchers**, including managers, particularly as a means of encouraging the return of nationals having left the country;
- **Acquisition, development or upgrading of research equipment** for the selected research entities;
- **Organisation of workshops and conferences** to facilitate knowledge transfer at regional, national and international level involving both the selected research entities' own research staff as well as invited researchers from other countries relevant to the development of the selected research entities' international training capacity and reputation; participation of the research staff of the research entities selected under the scheme at international conferences or short term training events, for knowledge sharing, network building and to expose them to a more international environment;
- **Dissemination and promotional activities** to ensure increased visibility of the selected research entities and their activities within the EU and elsewhere.

In case where one or more of the above mentioned measures of the Action Plan are considered not to be appropriate (either because the measure is already realised or because it is not relevant for the selected research entity), this will have to be justified in the proposal. It should also be noted that the measure related to "the acquisition, development or upgrading of research equipment" should not account for more than 30% of the total project budget. Only

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<sup>3</sup> DECISION N<sup>o</sup> 1982/2006/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013), published in the Official Journal 30.12.2006 L 412

in duly justified cases where the equipment is capital to increase the applicant's research capacity, it may be up to 45% of the total project budget.

Projects should complement actions for research entities co-financed through the cohesion policy programmes for 2007-2013 (specifically through the European Regional Development Fund). The selected research entities involved in **Research Potential** should explain the synergies between the measures set out in their Action Plan and related actions supported or to be supported through the cohesion policy programmes, whether in terms of human resources, the acquisition, development or upgrading of research equipment or activities for knowledge transfer.

### **Duration**

Projects will last up to 36 months.

### **Funding Schemes that apply:**

The applicable Funding scheme is "Coordination and Support Actions" (**Support Action**).

The Community contribution envisaged for Coordination and Support Actions (Support Action) will range approximately from EUR 0.5-1 million.

The Community financial contribution may reach a maximum of 100 % of the total eligible costs.

### **Expected impact:**

- Upgrading the RTD capacity and capability (human potential: number of new researchers and training of research staff, improvement of research management, scientific equipment) as well as the quality of research carried out by the selected research entities;
- Better integration of the selected research entities in the European Research Area as a whole(partnership, including twinning with research groups elsewhere in Europe);
- Contribution to regional capacity building;
- Improvement of the potential of the selected research entities to participate in FP7 projects.

**Activity: 4.2. Providing evaluation facilities for research entities in the EU's convergence regions and outermost regions**

Indicative available budget: EUR 1.0 million.

**Technical content/ scope:**

**Topics - REGPOT-2008-2**

This Activity will provide evaluation facilities through which any research entity in the qualifying regions, whether or not applying for funding under Activity 4.1, can obtain an international independent expert evaluation of the level of their overall research quality and capability (including management and research infrastructures) and define an Action Plan to improve their research capacities.

**Topics:** Any research topic covered by the EC FP7.

**Participants**

Any public or private research entity (as a single proposer) which is established as a legal entity established in the EU's convergence regions and outermost regions. These research entities must not be a subsidiary or branch of an organisation established in a different country.

**Type of activities/work**

High level independent experts will evaluate the level of the research quality and capability of the selected research entities (SWOT analysis). On the basis of this evaluation, the selected research entities will prepare an Action Plan to upgrade and reinforce their research potential. It is strongly recommended that the draft Action Plan is discussed jointly with the representatives of the national/regional research ministry in order to determine the most appropriate ways and methods of implementation.

Projects may complement actions for research entities co-financed through the cohesion policy programmes for 2007-2013 (specifically through the European Regional Development Fund).

**Duration**

Projects are normally expected to be completed within 12 months.

**Funding Schemes that apply:**

The applicable Funding scheme is "Coordination and Support Actions" (**Support Action**).

The Community contribution to be envisaged for Coordination and Support Actions (Support Actions) will be up to EUR 0.2 million.

The Community financial contribution may reach a maximum of 100 % of the total eligible cost.



**Expected impact:**

- SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis and conclusions
- An Action Plan to improve the research entities' RTD capacity
- Improved research capacity for increased contribution to regional economic and social development and for better participation in FP7 projects.

**Indicative budgets<sup>4</sup> for the Research Potential activity for the 2007-2008 Work Programmes**

	Indicative budget 2007	Indicative budget 2008 <sup>5</sup>
• Call <i>FP7-REGPOT-2007-1</i>	<i>EUR 23.50 million</i>	
• Call <i>FP7-REGPOT-2007-2</i>	<i>EUR 1 million</i>	
• Call <i>FP7-REGPOT-2007-3</i>	<i>EUR 8 million</i>	
• Call <i>FP7-REGPOT-2007-4</i>	<i>EUR 0.50 million</i>	
• <i>2007 Expert evaluators</i>	<i>EUR 0.40 million</i>	
• Call <i>FP7-REGPOT-2008-1</i>		<i>EUR 29 million</i>
• Call <i>FP7-REGPOT-2008-2</i>		<i>EUR 1 million</i>
• <i>2008 Expert evaluators</i>		<i>EUR 0.52 million</i>
<b>INDICATIVE TOTAL BUDGET ALLOCATION</b>	<b><i>EUR 33.40 million</i></b>	<b><i>EUR 30.52 million</i></b>

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<sup>4</sup> Under the condition that the preliminary draft budget for 2008 is adopted without modifications by the budgetary authority

<sup>5</sup> A reserve list may be produced of projects that pass the different thresholds of the evaluation but fall below the available indicative budget of a call, in case additional budget becomes available.

### III IMPLEMENTATION OF CALLS

- **Call identifier:** *FP7-REGPOT-2008-1*
- Date of publication: *30 November 2007*
- Deadline: *14 March 2008, at 17.00.00, Brussels local time*
- Indicative budget<sup>6</sup>: *EUR 29 million from 2008 budget<sup>7</sup>*
- Topics called:

Activity/ Area	Topics called	Funding Schemes
<i>REGPOT-2008-1. Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions</i>	<i>Any research topic covered by the EC FP7.</i>	<i>CSAs (Support Action)</i>

- Evaluation procedure:
  - The evaluation criteria (including weights and thresholds) and sub-criteria together with the eligibility, selection and award criteria, for the different funding schemes are set out in Annex 2 to this work programme.
  - The evaluation will follow a single stage procedure.
  - Proposals will not be evaluated anonymously.
  - Proposals may be evaluated remotely.
- Indicative evaluation and contractual timetable: *it is estimated that evaluation results will be available within 4 months after the closure dates; contract signature: it is estimated that the first contracts related to a call will come into force 9 months after the closure dates.*
- Consortia agreements: *N.A.*
- Particular requirements for participation, evaluation and implementation:

*The projects must be proposed by a single public or private research entity which is established as a legal entity in the EU's convergence regions and outermost regions. These research entities must not be a subsidiary or branch of another legal entity established in a different country.*

Restrictions on participation: EU Convergence regions and Outermost regions. Subject to international instruments associating third countries to the 7th EC Framework Programme, other regions may become eligible for participation; the modalities for the identification of eligible regions would be defined in these international instruments.

- The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Capacities Work Programme.

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<sup>6</sup> The final budget awarded to this call, following the evaluation of projects, may vary by up to 10% of the total value of the call.

<sup>7</sup> Under the condition that the preliminary draft budget for 2008 is adopted without modifications by the budgetary authority

- **Call identifier: FP7-REGPOT-2008-2**
- Date of publication: 30 November 2007
- Deadline: 14 March 2008, at 17.00.00, Brussels local time
- Indicative budget<sup>8</sup>: EUR 1.0 million from 2008 budget<sup>9</sup>
- Topics called:

Activity/ Area	Topics called	Funding Schemes
REGPOT-2008-2. Providing evaluation facilities for research entities in the EU's convergence regions and outermost regions	Any research topic covered by the EC FP7.	CSAs (Support Action)

- Evaluation procedure:
  - The evaluation criteria (including weights and thresholds) and sub-criteria together with the eligibility, selection and award criteria, for the different funding schemes are set out in Annex 2 to this work programme.
  - The evaluation will follow a single stage procedure.
  - Proposals will not be evaluated anonymously.
  - Proposals may be evaluated remotely.
- Indicative evaluation and contractual timetable: It is estimated that *evaluation results will be available within 4 months after the closure dates; contract signature: it is estimated that the first contracts related to a call will come into force 9 months after the closure dates.*
- Consortia agreements: *N.A.*
- Particular requirements for participation, evaluation and implementation:

*The projects must be proposed by a single public or private research entity which is established as a legal entity in the EU's convergence regions and outermost regions.*

*These research entities must not be a subsidiary or branch of another legal entity established in a different country.*

*Restrictions on participation: EU's Convergence regions and outermost regions. Subject to international instruments associating third countries to the 7th EC Framework Programme, other regions may become eligible for participation; the modalities for the identification of eligible regions would be defined in these international instruments.*

- The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Capacities work programme.

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<sup>8</sup> The final budget awarded to this call, following the evaluation of projects, may vary by up to 10% of the total value of the call.

<sup>9</sup> Under the condition that the preliminary draft budget for 2008 is adopted without modifications by the budgetary authority

#### **IV INDICATIVE PRIORITIES FOR FUTURE CALLS**

**In 2009, similar activities will be addressed to research legal entities in convergence and outermost regions of the EU in the area of "Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions" and "Providing evaluation facilities for research entities in the EU's convergence regions and outermost regions".**